

FORM HR-RM 1

(11-1-56)

Hall of Records
Commission

RECORDS RETENTION SCHEDULE

To be Submitted to the Records Management Division

Hall of Records Commission

SCHEDULE
NO.

527

PAGE
NO.

1

1. Requesting Agency

STATE DEPARTMENT OF EDUCATION

2. Division or Bureau of Requesting Agency

Division of Vocational Rehabilitation

3. Authorization Requested (Check only one of the squares below).



A Dispose of present accumulation. No additional accumulation is anticipated. Records have ceased to have value to warrant retention.



B Establish retention schedule for records for which there is a continuing accumulation. The records will cease to have value to warrant their retention after the period of time indicated.



C Microfilm and destroy originals. Originals if not microfilmed would be retained for the period of time indicated.

4.
Item
No.

5. Description of Records

Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.

6. Recommendation
of Hall of Records
and Board of Public
Works.

1

CASE FOLDERS

Size: Letter size
 Dates: 1966 --
 Quantity: 88 file drawers
 File Arrangement: Numerical by case number
 Audit: Subject to Federal and State audits
 Index: Index to Case Folders (Item 2)

Case Folders are prepared and filed in the regional or local office in which the case originates for each handicapped person given rehabilitation and employment assistance. Listed below are the basic forms "A" which will be found in each Case Folder and special forms "B" and "C" which may or may not be included according to the type of case under consideration.

The Statistical Record Card, R-13 (formerly R-20) is prepared in duplicate in the regional or local office when the case is opened. The copy is retained in the office and the original is forwarded to the Division of Research and Development where it enters into the computer and the information is put on magnetic tape. A master print-out is prepared weekly (numerical sequence) and monthly (alphabetical sequence) covering open and closed cases for reference at the CENTRAL OFFICE and a quarterly report on tape (closed cases) is sent to the Rehabilitation Services Administration (HEW) in Washington.

The Statistical Record Card (R-13) is updated and printed out for return to the regional or local office. Such updating continues periodically until the case is closed. At that time, a Case Closure Report (R-27) is prepared in duplicate - one copy for the local office

7. Agency, Division or Bureau Representative

Joseph R. Under

Signature

Assistant Director

Title

12/28/70

Date

Schedule Authorized as Indicated in Col. 6 by Hall of
Records Commission.Disposal Authorized as Indicated in Col. 6 by Board of
Public Works.

12-3-70

Date

Morris L. Rudoff

Archivist

12-15-70

Date

Assistant Secretary

Secretary

REQUEST FOR RECORDS RETENTION SCHEDULE
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1 (cont'd)	<p>and one for the regional office Case File as required. Upon closure, the Counselor enters closure information on the Statistical Record Card and forwards this card to the Division of Research and Development for final updating, in duplicate, showing closure. The original and duplicate cards are returned to the originating office where the Counselor signs both copies and forwards the original to the CENTRAL OFFICE for the permanent file and the duplicate is retained in the local or regional office files for the recommended retention period prior to disposal.</p> <p>The Case Files retained in local and regional offices should be removed to non-current status immediately after closure.</p> <p>A. <u>Records which are found in all Case Folders at regional or local level:</u></p> <table border="1"> <thead> <tr> <th data-bbox="79 870 150 929">Form No.</th> <th data-bbox="360 902 555 929">Record Title</th> <th data-bbox="728 838 789 929">No. Cop- ies</th> <th data-bbox="943 902 1141 929">Distribution</th> </tr> </thead> <tbody> <tr> <td>R-2</td> <td>Referral for Vocational Rehabilitation</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-3</td> <td>Medical Report - GME</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-4</td> <td>Survey Interview</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-4j</td> <td>Certification</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-11</td> <td>Case Contact Report</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-13</td> <td>Statistical Record Card</td> <td>2</td> <td>SDE* Division of Planning & Research/Case Folder</td> </tr> <tr> <td>R-27</td> <td>Case Closure Report</td> <td>1</td> <td>Case Folder</td> </tr> </tbody> </table> <p>B. <u>Records which may be found in the Case Folder if pertinent to the case:</u></p> <table border="1"> <tbody> <tr> <td>R-3a</td> <td>Medical Report - TBC</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-3b</td> <td>Medical Report - Orthopedic</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-3c</td> <td>Medical Report - Visual</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-3d</td> <td>Medical Report - Hearing</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-3e</td> <td>Medical Consultant</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-4a</td> <td>Report of Employment</td> <td>2</td> <td>Client/Case Folder</td> </tr> <tr> <td>R-4b</td> <td>Employment Record</td> <td>2</td> <td>Employer/Case Folder</td> </tr> <tr> <td>R-4c</td> <td>Acknowledgment of Referral</td> <td>2</td> <td>Referral Source/Case Folder</td> </tr> <tr> <td>R-4d</td> <td>Summary Profile of Aptitudes</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-4g</td> <td>Financial Statement</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-4h</td> <td>Release of Information Request</td> <td>2</td> <td>To Requesting Individual or Agency/Case Folder</td> </tr> <tr> <td>R-4i</td> <td>Referral for Psychological</td> <td>2</td> <td>Psychologist/Case Folder</td> </tr> <tr> <td>R-5</td> <td>Plan of Rehabilitation</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-6</td> <td>Training Agreement</td> <td>2</td> <td>Vendor/Case Folder</td> </tr> <tr> <td>R-6a</td> <td>Entrance into Training</td> <td>1</td> <td>Case Folder</td> </tr> <tr> <td>R-6b</td> <td>Receipt of Training Supplies</td> <td>2</td> <td>Vendor/Case Folder</td> </tr> </tbody> </table>	Form No.	Record Title	No. Cop- ies	Distribution	R-2	Referral for Vocational Rehabilitation	1	Case Folder	R-3	Medical Report - GME	1	Case Folder	R-4	Survey Interview	1	Case Folder	R-4j	Certification	1	Case Folder	R-11	Case Contact Report	1	Case Folder	R-13	Statistical Record Card	2	SDE* Division of Planning & Research/Case Folder	R-27	Case Closure Report	1	Case Folder	R-3a	Medical Report - TBC	1	Case Folder	R-3b	Medical Report - Orthopedic	1	Case Folder	R-3c	Medical Report - Visual	1	Case Folder	R-3d	Medical Report - Hearing	1	Case Folder	R-3e	Medical Consultant	1	Case Folder	R-4a	Report of Employment	2	Client/Case Folder	R-4b	Employment Record	2	Employer/Case Folder	R-4c	Acknowledgment of Referral	2	Referral Source/Case Folder	R-4d	Summary Profile of Aptitudes	1	Case Folder	R-4g	Financial Statement	1	Case Folder	R-4h	Release of Information Request	2	To Requesting Individual or Agency/Case Folder	R-4i	Referral for Psychological	2	Psychologist/Case Folder	R-5	Plan of Rehabilitation	1	Case Folder	R-6	Training Agreement	2	Vendor/Case Folder	R-6a	Entrance into Training	1	Case Folder	R-6b	Receipt of Training Supplies	2	Vendor/Case Folder	
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1	(continued)	
Form No.	Record Title	No. Copies Distribution
R-6c	Attendance Post Card	1 Case Folder
R-7a	Bill Correction Request	2 Vendor/Case Folder
R-7b	Purchase Order	5 Vendor/A & F*/Case Folder and 2 to Regional Office
R-7c	Case Budget Cancellation, Budget Credit, Budget Increase	3 2 copies to A & F/Case Folder
R-8	Training Progress Report	1 Case Folder
R-9	Receipt for Appliance	1 Case Folder
R-10	Bus Transportation Letter	3 Client/Vendor/Case Folder
R-14	Request to DPW on Grants	2 Dept. of Soc. Services/Case Folder
R-17	Change of Name and Address	3 DVR Headquarters/Case Folder/Regional Office
R-19	Referral of Mental Retardate to Federal Agency	2 Federal Agency/Case Folder
R-21	Client Appointment Letter	2 Client/Case Folder
R-25	Referral to Dept. Soc. Services	3 Case Folder (1); Referral Agency (2)
-28	Purchase Order Code Change	2 A & F/Case Folder
C. <u>Records which are not found in the Case Folder:</u>		
R-1	Field Memo	1 Counselor
R-4e	Job Order	X Multiple Copies/Posted
R-4f	Appointment Card	1 Client
R-7f	Voucher Instructions to Client	1 Client
R-7g	Voucher Schedule	1 Counselor
R-7h	Voucher	3 A & F (client-counselor)
R-7i	Voucher Duplicate	1 A & F
R-12	Bulk Transport Instructions	1 Vendor
R-16	Intrastate Transfer Card	3 DVR Headquarters/Regional Office/District Receiving Transfer
R-18	Rehabilitation Follow-up	1 DVR Headquarters
R-20	Request for Hospital Records	1 Hospital
R-26	SSDI Verification Request	1 Trust Fund Coordinator
<p>All non-current Case Files at the local or regional level are governed by Recommendation "A" below. The final Statistical Record Card in the Central Office file is governed by Recommendation "B."</p>		
<p>* State Department of Education, Division of Accounting and Finance</p>		

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1 (cont'd)	<p>Files in the CENTRAL OFFICE containing the Final Statistical Record Cards have been microfilmed for the period 1952-1964.</p> <p>RECOMMENDATION:</p> <p>A. RETAIN CLOSED CASE FILES IN THE REGIONAL AND LOCAL OFFICES FOR FIVE YEARS PLUS THE CURRENT FISCAL YEAR OR UNTIL ALL AUDIT REQUIREMENTS, FEDERAL AND STATE, HAVE BEEN FULFILLED, WHICH IS LATER, THEN DESTROY.</p> <p>B. RETAIN FILES AT THE CENTRAL OFFICE CONTAINING THE FINAL STATISTICAL RECORD CARD FOR FIVE YEARS PLUS THE CURRENT FISCAL YEAR OR UNTIL ALL AUDIT REQUIREMENTS, FEDERAL AND STATE, HAVE BEEN FULFILLED, WHICHEVER IS LATER, THEN MICROFILM AND DESTROY THE ORIGINALS. RETAIN MICROFILM PERMANENTLY.</p>	
2	<p>INDEX TO CASE FOLDERS, FORM NO. R-15</p> <p>Size: 3" x 5" cards Dates: 1929 -- Quantity: 90 card file drawers File Arrangement: Alphabetical by name</p> <p>The index cards to Case Folders (Item 1) are two-part forms prepared at the time of opening a case by the local office and are distributed as follows:</p> <p>Original to DVR Central Office Copy filed in Local Office</p> <p>The Index Cards contain space for the name, address and date of birth, sex and race, social security number or assigned empirical number, reported by (referral source, coded), the date, disability, name of counselor, dates of meetings, type of closure and date.</p> <p>Cards filed in the local or district offices are to be removed to an inactive file as soon as a case is closed after which they are subject to the same retention period as are the Closed Case Files (Item 1). No records located in regional and local offices are to be microfilmed.</p>	

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2 (cont'd)	<p>The Index cards filed at Headquarters are considered the record copies and are subject to the recommendation below. As soon as a case is closed, remove the Index Card to an inactive file to facilitate compliance with Recommendation for microfilming. This index has been filmed for the period 1929-1964.</p> <p>RECOMMENDATION:</p> <p>RETAIN INACTIVE INDEX FOR FIVE YEARS PLUS THE CURRENT FISCAL YEAR, MICROFILM AND DEPOSIT FILM IN THE STATE RECORD CENTER, DESTROY ORIGINAL CARDS.</p>	